

<b>UTILITY PATENT APPLICATION TRANSMITTAL</b> <small>(Only for new nonprovisional applications under 37 CFR 1.53(b))</small>		Attorney Docket No.	2566-210
		First Inventor	Ananth MADHAVAN et al.
		Title    SYSTEM AND METHOD FOR ESTIMATING TRANSACTION COSTS RELATED TO TRADING A SECURITY	

031088 U.S.P.T.O.  
10/6/4432



Applicant for Published Patent Application: Investment Technology Group, Inc.  
New York, NY 10017

<b>APPLICATION ELEMENTS</b> <small>See MPEP chapter 600 concerning utility patent application contents.</small>		ADDRESS TO:    Assistant Commissioner of Patents Box Patent Application Washington, D.C. 20231
<p>1. <input checked="" type="checkbox"/> Fee Transmittal Form <i>(Submit an original, and a duplicate for fee processing)</i></p> <p>2. <input type="checkbox"/> Applicant claims small entity status.</p> <p>3. <input checked="" type="checkbox"/> Specification Total pages [ 46 ] <i>(preferred arrangement set forth below)</i></p> <ul style="list-style-type: none"> <li>- Descriptive title of the invention</li> <li>- Cross references to Related Applications</li> <li>- Statement Regarding Fed sponsored R&amp;D</li> <li>- Reference to sequence listing, a table or a computer program listing appendix</li> <li>- Background of the Invention</li> <li>- Brief Summary of the Invention</li> <li>- Brief Description of the Drawings</li> <li>- Detailed Description</li> <li>- Claims</li> <li>- Abstract of the Disclosure</li> </ul> <p>4. <input checked="" type="checkbox"/> Drawing(s) (35 USC 113) (Total Sheets) [ 17 ]</p> <p>5. <input checked="" type="checkbox"/> Oath or Declaration (Total Pages) [ 2 ]</p> <ul style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> Newly executed (original or copy)</li> <li>b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) <i>(for continuation/divisional with Box 17 completed)</i></li> </ul> <p><b>[Note Box 5 below]</b></p> <ul style="list-style-type: none"> <li>i. <input type="checkbox"/> <b><u>DELETION OF INVENTOR(S)</u></b> Signed statement attached deleting inventor(s) named in the prior application,</li> </ul> <p>6. <input checked="" type="checkbox"/> Application Data Sheet.</p>		
<p>7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program</p> <p>8. Nucleotide and/or Amino Acid Sequence Submission</p> <ul style="list-style-type: none"> <li>a. <input type="checkbox"/> Computer Readable Form (CRF)</li> <li>b. Specification Sequence Listing on:           <ul style="list-style-type: none"> <li>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or</li> <li>ii. <input type="checkbox"/> paper</li> </ul> </li> <li>c. <input type="checkbox"/> Statement verifying identity of above copies</li> </ul>		

#### ACCOMPANYING APPLICATION PARTS

9.  Assignment Papers (cover sheet & document(s))
10.  37 CFR 3.73(b) Statement  
*(when there is an assignee)*
  - Power of Attorney
  - 11.  English Translation Document *(if applicable)*
  - 12.  Information Disclosure Statement /PTO 1449
  - Copies of IDS Citations
  - 13.  Preliminary Amendment
  - 14.  Return Receipt Postcard (MPEP 503)  
*(Should be specifically itemized)*
  - 15.  Certified Copy of Priority Document(s).
  - 16.  Request and Certification under 35 U.S.C. 122(b)(2)(B)(i).
  - 17.  Other:

17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below or in an application Data Sheet under 37 CFR 1.76:

Continuation  Divisional  Continuation-in-part (CIP) of prior application No.:

Prior application information: Examiner \_\_\_\_\_ Group/Art Unit \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

Customer Number or Bar Code Label **6449**

Address	Rothwell, Figg, Ernst & Manbeck Suite 800, 1425 K Street, N.W.				
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Name	Brian A. Tollefson, Reg. No. 46,338				
Signature				Date	10/11/03

100103  
18334 U.S.PTO

## FEE TRANSMITTAL for FY 2003 (Larg Entity)

		Complete if Known	
Application Number		New	
Filing Date		October 1, 2003	
First Named Inventor		Ananth MADHAVAN et al.	
Examiner Name		Unassigned	
Group Art Unit		Unassigned	
Total Amount of Payment	(\$1,454.00)	Attorney Docket Number	2566-210

### METHOD OF PAYMENT (check one)

1.  The Commissioner is hereby authorized to charge additional fees and credit any overpayment to Deposit Account Number 02-2135 in the name of Rothwell, Figg, Ernst & Manbeck
- Charge any Additional Fee Required Under 37 CFR 1.16 and 1.17
- Applicant claims small entity status
2.  Payment Enclosed
  - Check
  - Credit Card

### FEE CALCULATION

#### 1. FILING FEE

Fee	Fee	Fee Description	Fee Paid
Code	\$		
1001	770	Utility filing fee	[ 770 ]
1002	340	Design Filing Fee	[ ]
1003	530	Plant Filing Fee	[ ]
1004	770	Reissue Filing Fee	[ ]
1005	160	Provisional Filing Fee	[ ]
<b>SUBTOTAL</b>		\$ 770.00	

#### 2. CLAIMS

Paid	Extra Claims	Fee	Fee
Total Claims	[51]	- 20** = [31]	x \$18 = [558]
Independent Claims	[4]	- 3** = [1]	x 86 = [ 86 ]
Multiple Dependent Claims		+ 290 = [ ]	

\*\*or number previously paid, if greater;

**SUBTOTAL** \$ 644.00

### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

Fee Code	Fee Paid	Fee Description	Fee Paid
1051	130	Surcharge - late filing fee or oath	[ ]
1052	50	Surcharge - late provisional filing fee or cover sheet	[ ]
1053	130	Non-English specification	[ ]
1812	2,520	For filing a request for reexamination	[ ]
1804	920	Requesting publication of SIR prior to Examiner action	[ ]
1804	1,840*	Requesting publication of SIR after Examiner action	[ ]
1251	110	Extension for reply within first month	[ ]
1252	420	Extension for reply within second month	[ ]
1253	950	Extension for reply within third month	[ ]
1254	1,480	Extension for reply within fourth month	[ ]
1255	2,010	Extension for reply within fifth month	[ ]
1401	330	Notice of Appeal	[ ]
1402	330	Filing a brief in support of an appeal	[ ]
1403	290	Request for Oral Hearing	[ ]
1451	1,510	Petition to institute a public use proceeding	[ ]
1452	110	Petition to revive -unavoidable	[ ]
1453	1,330	Petition to revive - unintentional	[ ]
1501	1,330	Utility issue fee (or reissue)	[ ]
1502	480	Design issue fee	[ ]
1503	640	Plant issue fee	[ ]
1460	130	Petitions to the Commissioner	[ ]
1807	50	Processing fee under 37 CFR 1.17(q)	[ ]
1806	180	Submission of Information Disclosure Statement	[ ]
8021	40	Recording each patent assignment per property (times number of properties)	[ 40 ]
1809	770	Filing a submission after final rejection (37 CFR .129(a))	[ ]
1810	770	For each additional invention to be examined (37 CFR 1.129(b))	[ ]
1801	770	Request for Continued Examination (RCE)	[ ]
1802	900	Request for expedited examination of a design application	[ ]
1504	300	Publication fee for early, voluntary, or normal publication	[ ]
1505	300	Publication fee for republication	[ ]
1455	200	Filing application for patent term adjustment	[ ]
1456	400	Request for reinstatement of term reduced	[ ]
Other fee (specify)			

\* Reduced by Basic Filing Fee Paid

**SUBTOTAL** \$40.00

SUBMITTED BY		Complete (if applicable)		
NAME AND REG. NUMBER	Brian A. Tollefson, Reg. No. 46,338			
SIGNATURE		DATE	October 1, 2003	DEPOSIT ACCOUNT USER ID 02-2135